

06/20/01

PTO/SB/05 (08-00)

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UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional applications under 37 CFR 1.52(b))	Attorney Docket No.	GLADS-001A
	First Inventor	Garry D. Gladstone
	Title	METHOD AND SYSTEM FOR AUTOMATED TRADING OF FINANCIAL INSTRUMENTS
	Express Mail Label No.	EL 794641092 US

J1002 U.S. PTO
09/884303
06/19/01

APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents.	ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
<p>1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB17)</p> <p>2. <input checked="" type="checkbox"/> Applicant claims small entity status.</p> <p>3. <input checked="" type="checkbox"/> Specification [Total Pages <u>30</u>] (preferred arrangement set forth below) -Descriptive title of the invention -Cross Reference to Related Applications -Statement Regarding Fed sponsored R & D -Reference to sequence listing, a table, or a computer program listing appendix -Background of the Invention -Brief Summary of the Invention -Brief Description of the Drawings (if filed) 37 CFR 3.73(b) -Detailed Description -Claim(s) -Abstract of the Disclosure Copies of IDS Citations</p> <p>4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets <u>1</u>]</p> <p>5. <input checked="" type="checkbox"/> Oath or Declaration/Power of Attorney [Total Pages <u>2</u>] a. <input checked="" type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 17 completed) i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</p> <p>6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</p>	<p>7. <input type="checkbox"/> CD-ROM or C-R in duplicate, large table or Computer Program (Appendix)</p> <p>8. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission See 37 CFR 1.27 (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Form (CRF) b. <input type="checkbox"/> Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper c. <input type="checkbox"/> Statements verifying identity of above copies a computer program listing appendix</p> <p>ACCOMPANYING APPLICATION PARTS</p> <p>9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))</p> <p>10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney</p> <p>11. <input type="checkbox"/> English Translation Document (if applicable)</p> <p>12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations</p> <p>13. <input type="checkbox"/> Preliminary Amendment</p> <p>14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized)</p> <p>15. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)</p> <p>16. <input checked="" type="checkbox"/> Other: <u>Certificate of Mailing</u></p>

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part of prior application No.: /

Prior application information: Examiner Group/Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

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Country	United States				

Name (Print/Type)	Eric L. Tanezaki	Registration No. (Attorney/Agent)	40,196
Signature	Eric L. Tanezaki		Date: June 19, 2001

† SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231

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1c796 U.S. PTO

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<h1 style="text-align: center;">FEE TRANSMITTAL for FY 2001</h1> <p style="text-align: center;">Patent fees are subject to annual revision.</p>		Complete if Known	
		Application Number	Unknown
		Filing Date	Herewith
		First Named Inventor	Garry D. Gladstone
		Examiner Name	Unknown
TOTAL AMOUNT OF PAYMENT	(\$) 458.00	Group Art Unit	Unknown
		Attorney Docket No.	GLADS-001A

METHOD OF PAYMENT	FEE CALCULATION (continued)																																																																																																																												
<p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:</p> <p>Deposit Account Number <u>19-4330</u></p> <p>Deposit Account Name <u>STETINA BRUNDA GARRED & BRUCKER</u></p> <p>X Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 X Applicant claims small entity status. See 37 CFR 1.27</p> <p>2. <input checked="" type="checkbox"/> Payment Enclosed:</p> <p><input type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other</p>	<p>3. ADDITIONAL FEES</p> <table border="1"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105 130</td><td>205 65</td><td>Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>127 50</td><td>227 25</td><td>Surcharge -late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>139 130</td><td>139 130</td><td>Non-English specification</td><td></td></tr> <tr><td>147 2,520</td><td>147 2,520</td><td>For filing a request for ex parte reexamination</td><td></td></tr> <tr><td>112 920*</td><td>112 920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113 1,840*</td><td>113 1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115 110</td><td>215 55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116 390</td><td>216 195</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117 890</td><td>217 445</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118 1,390</td><td>218 695</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128 1,890</td><td>228 945</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119 310</td><td>219 155</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120 310</td><td>220 155</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121 270</td><td>221 135</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138 1,510</td><td>138 1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140 110</td><td>240 55</td><td>Petition to revive-unavoidable</td><td></td></tr> <tr><td>141 1,240</td><td>241 620</td><td>Petition to revive-unintentional</td><td></td></tr> <tr><td>142 1,240</td><td>242 620</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143 440</td><td>243 220</td><td>Design issue fee</td><td></td></tr> <tr><td>144 600</td><td>244 300</td><td>Plant issue fee</td><td></td></tr> <tr><td>122 130</td><td>122 130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>123 50</td><td>123 50</td><td>Petitions related to provisiona applications</td><td></td></tr> <tr><td>126 240</td><td>126 240</td><td>Submission of Information Disclosure Statement</td><td></td></tr> <tr><td>581 40</td><td>5 81 40</td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr> <tr><td>146 710</td><td>246 355</td><td>Filing a submission after final rejection (37 CFR § 1.129(a))</td><td></td></tr> <tr><td>149 710</td><td>249 355</td><td>For each additional invention to be examined</td><td></td></tr> <tr><td>179 710</td><td>279 355</td><td>Request for Continued Examination (RCE)</td><td></td></tr> <tr><td>169 900</td><td>169 900</td><td>Request for expedited examination of a design application</td><td></td></tr> <tr><td colspan="4">Other fee (specify) _____</td></tr> <tr> <td colspan="2">* Reduced by Basic Filing Fee Paid</td> <td>SUBTOTAL (3)</td> <td>\$ _____</td> </tr> </tbody> </table>	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	105 130	205 65	Surcharge - late filing fee or oath		127 50	227 25	Surcharge -late provisional filing fee or cover sheet		139 130	139 130	Non-English specification		147 2,520	147 2,520	For filing a request for ex parte reexamination		112 920*	112 920*	Requesting publication of SIR prior to Examiner action		113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action		115 110	215 55	Extension for reply within first month		116 390	216 195	Extension for reply within second month		117 890	217 445	Extension for reply within third month		118 1,390	218 695	Extension for reply within fourth month		128 1,890	228 945	Extension for reply within fifth month		119 310	219 155	Notice of Appeal		120 310	220 155	Filing a brief in support of an appeal		121 270	221 135	Request for oral hearing		138 1,510	138 1,510	Petition to institute a public use proceeding		140 110	240 55	Petition to revive-unavoidable		141 1,240	241 620	Petition to revive-unintentional		142 1,240	242 620	Utility issue fee (or reissue)		143 440	243 220	Design issue fee		144 600	244 300	Plant issue fee		122 130	122 130	Petitions to the Commissioner		123 50	123 50	Petitions related to provisiona applications		126 240	126 240	Submission of Information Disclosure Statement		581 40	5 81 40	Recording each patent assignment per property (times number of properties)		146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))		149 710	249 355	For each additional invention to be examined		179 710	279 355	Request for Continued Examination (RCE)		169 900	169 900	Request for expedited examination of a design application		Other fee (specify) _____				* Reduced by Basic Filing Fee Paid		SUBTOTAL (3)	\$ _____
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SUBMITTED BY:		Complete (if applicable)			
Name (Print/Type)	Eric L. Tanezaki	Registration No. (Attorney/Agent)	40,196	Telephone	(949) 855-1246
Signature	<i>Eric L. Tanezaki</i>			Date	6/19/01

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on June 19, 2001
(Date)

Paula Gordon
Signature

Paula Gordon
Typed or printed name of person signing Certificate

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4. Statement Claiming Small Entity Status (1 page);
5. Specification (30 pages);
6. Drawing (1 page);
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8. Return Postcard.